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**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

*(Only for new nonprovisional applications under 37 CFR 1.53(b))*

Attorney Docket No.		4034-57
First Inventor		Lawrence P. Shields et al.
Title	System for Execution of Trades Made Pursuant to Stock Option and Purchase Plans	
Express Mail Label No.		EL650348143US

## APPLICATION ELEMENTS

*See MPEP chapter 600 concerning utility patent application contents*

**ADDRESS TO:** Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

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| <p>1. <input checked="" type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17)<br/><i>(Submit an original, and a duplicate for fee processing)</i></p> <p>2. <input type="checkbox"/> Applicant claims small entity status.<br/>See 37 CFR 1.27</p> <p>3. <input checked="" type="checkbox"/> Specification [Total Pages <span style="border: 1px solid black; padding: 2px;">39</span>]<br/><i>(preferred arrangement as set forth below)</i></p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (<i>if filed</i>)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <span style="border: 1px solid black; padding: 2px;">24</span>]</p> <p>5. Oath or Declaration [Total Pages <span style="border: 1px solid black; padding: 2px;">1</span>]</p> <p>a. <input type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br/><i>(for continuation/divisional with Box 18 completed)</i></p> <p>i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b><br/>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b)</p> <p>6. <input checked="" type="checkbox"/> Application Data Sheet. See 37 CFR 1.76</p> | <p>7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (<i>Appendix</i>)</p> <p>8. Nucleotide and/or Amino Acid Sequence Submission<br/><i>(if applicable, all necessary)</i></p> <p>a. <input type="checkbox"/> Computer Readable Form (CRF)</p> <p>b. Specification Sequence Listing on:</p> <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul> <p>c. <input type="checkbox"/> Statements verifying identity of above copies</p> |
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**ACCOMPANYING APPLICATION PARTS**

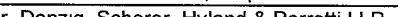
<p>9. <input type="checkbox"/> Assignment Papers (<i>cover sheet &amp; documents</i>)</p>	<p>10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i></p>
<p>11. <input type="checkbox"/> English Translation Document (<i>if applicable</i>)</p>	
<p>12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of Citations</p>	
<p>13. <input type="checkbox"/> Preliminary Amendment</p>	
<p>14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i></p>	
<p>15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i></p>	
<p>16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122(b)(2)(B)(i). Applicant must attach form PTO/S or its equivalent</p>	

18. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No: \_\_\_\_\_ /  
*Prior application information*

**For CONTINUATION or DIVISIONAL APPS only:** The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**19. CORRESPONDENCE ADDRESS**

<input type="checkbox"/> Customer Number or Bar Code Label	(Insert Customer No. or attach bar code label here)			or <input type="checkbox"/> Correspondence address below
Name	Leslie Gladstone Restaino, Esq. Riker, Danzig, Scherer, Hyland & Perretti LLP			
Address	Headquarters Plaza One Speedwell Avenue			
City	Morristown	State	NJ	Zip Code
Country	USA	Telephone	973-538-0800	Fax
Name (Print/Type)	Leslie Gladstone Restaino, Esq.		Registration No. (Attorney/Agent)	38,893
Signature			Date *	February 8, 2001

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<b>FEE TRANSMITTAL</b> <b>for FY 2001</b>						<i>Complete if Known</i>																																																																																																																																																																																																																
<small>Patent fees are subject to annual revision</small> <small>Small Entity payments must be supported by a small entity statement</small> <small>otherwise large entity fees must be paid. See Forms PTO/SB/09-12</small> <small>See 37 C.F.R. § 1.27 and 1.28</small>						Application Number																																																																																																																																																																																																																
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<b>METHOD OF PAYMENT</b> (check one)						<b>FEE CALCULATION (continued)</b>																																																																																																																																																																																																																
1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number      50-0444 Deposit Account Name      Riker, Danzig, Scherer, Hyland & Perretti LLP <input checked="" type="checkbox"/> Charge Any Additional Fee Required Under 37 CFR § 1.16 and 1.17						<b>3 ADDITIONAL FEES</b> <table border="1"> <thead> <tr> <th>Large Entity Fee Code</th> <th>Small Entity Fee Code</th> <th>Fee (\$)</th> <th>Fee Description</th> <th>Fee Paid</th> </tr> </thead> <tbody> <tr><td>105</td><td>130</td><td>205</td><td>65</td><td>Surcharge - late filing fee or oath</td></tr> <tr><td>127</td><td>50</td><td>227</td><td>25</td><td>Surcharge - late provision filing fee or cover sheet</td></tr> <tr><td>139</td><td>130</td><td>139</td><td>130</td><td>Non-English specification</td></tr> <tr><td>147</td><td>2,520</td><td>147</td><td>2,520</td><td>For filing a request for reexamination</td></tr> <tr><td>112</td><td>920**</td><td>112</td><td>920**</td><td>Requesting publication of SIR prior to Examiner action</td></tr> <tr><td>113</td><td>1,840**</td><td>113</td><td>1,840**</td><td>Requesting publication of SIR after Examiner action</td></tr> <tr><td>115</td><td>110</td><td>215</td><td>55</td><td>Extension for reply within first month</td></tr> <tr><td>116</td><td>380</td><td>216</td><td>190</td><td>Extension for reply within second month</td></tr> <tr><td>117</td><td>870</td><td>217</td><td>435</td><td>Extension for reply within third month</td></tr> <tr><td>118</td><td>1,360</td><td>218</td><td>680</td><td>Extension for reply within fourth month</td></tr> <tr><td>128</td><td>1,850</td><td>228</td><td>925</td><td>Extension for reply within fifth month</td></tr> <tr><td>119</td><td>300</td><td>219</td><td>150</td><td>Notice of Appeal</td></tr> <tr><td>120</td><td>300</td><td>220</td><td>150</td><td>Filing a brief in support of an appeal</td></tr> <tr><td>121</td><td>260</td><td>221</td><td>130</td><td>Request for oral hearing</td></tr> <tr><td>138</td><td>1,510</td><td>138</td><td>1,510</td><td>Petition to institute a public use proceeding</td></tr> <tr><td>140</td><td>110</td><td>240</td><td>55</td><td>Petition to revive - unavoidable</td></tr> <tr><td>141</td><td>1,210</td><td>241</td><td>605</td><td>Petition to revive - unintentional</td></tr> <tr><td>142</td><td>1,210</td><td>242</td><td>605</td><td>Utility issue fee (or reissue)</td></tr> <tr><td>143</td><td>430</td><td>243</td><td>215</td><td>Design issue fee</td></tr> <tr><td>144</td><td>580</td><td>244</td><td>290</td><td>Plant issue fee</td></tr> <tr><td>122</td><td>130</td><td>122</td><td>130</td><td>Petitions to the Commissioner</td></tr> <tr><td>123</td><td>50</td><td>123</td><td>50</td><td>Petitions related to provisional applications</td></tr> <tr><td>126</td><td>240</td><td>126</td><td>240</td><td>Submission of Information Disclosure Stmt</td></tr> <tr><td>581</td><td>40</td><td>581</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td></tr> <tr><td>146</td><td>690</td><td>246</td><td>380</td><td>Filing a submission after final rejection (37 CFR 1.129(a))</td></tr> <tr><td>149</td><td>690</td><td>249</td><td>380</td><td>For each additional invention to be examined (37 CFR 1.29(b))</td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> <tr><td colspan="6">Other fee (specify) _____</td></tr> <tr> <td colspan="6" style="text-align: right;">SUBTOTAL (1) (\$)</td> <td colspan="2" style="text-align: right;">710.00</td> </tr> <tr> <td colspan="6"> <b>2. 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SUBMITTED BY			Complete (if applicable)		
Name (Print/Type)	Leslie Gladstone Restaino, Esq		Registration No (Attorney/Agent)	38,893	Telephone 973-538-0800
Signature	<i>Leslie Gladstone Restaino</i>		Date	2/8/2001	

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Lawrence P. Shields, et al.

Attorney Docket No.: 4034-57

For:

**SYSTEM FOR EXECUTION OF TRADES MADE  
PURSUANT TO STOCK OPTION AND PURCHASE PLANS**

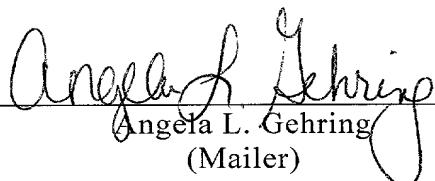
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February 8, 2001

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Assistant Commissioner of Patents  
Washington, D.C. 20231

Sir:

**CERTIFICATION**

I hereby certify that this paper, bearing Express Mailing Label No. EL650348143US, together with the accompanying papers directed to the above-identified Utility Patent Application are being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and are addressed to Box Patent Application, Assistant Commissioner for Patents, Washington, D.C. 20231.

  
\_\_\_\_\_  
Angela L. Gehring  
(Mailer)